

# PPM 420

## ASSESSMENT FOR DETERMINING ELIGIBILITY & PRIORITY FOR SERVICES

### CONTENTS:

#### *GENERAL REQUIREMENTS*

- 420.01 Requirement to Conduct the Assessment (pp.1-2)
- 420.02 Purpose of the Assessment (p.2)
- 420.03 Timeliness Requirements (pp.2-3)
- 420.04 Authority for Making the Eligibility or Ineligibility and Severity Determinations (p.3)

#### *CONDUCTING THE ASSESSMENT*

- 420.05 General Requirements (pp.3-4)
- 420.06 Information Used for the Assessment (pp.4-5)
- 420.07 Service Provision During the Assessment (pp.5-6)

#### *RECORD OF SERVICES DOCUMENTATION REQUIREMENTS*

- 420.08 Record of Services Content Requirements (pp.6-7)
- 420.09 Information Technology System Compliance (p.7)

### ***GENERAL REQUIREMENTS***

#### **420.01 REQUIREMENT TO CONDUCT THE ASSESSMENT**

An assessment for determining eligibility and priority for services must be conducted for every individual who has applied for vocational rehabilitation services, unless:

- (1) the individual or the individual's representative first refuses services or becomes unavailable to participate in and complete the assessment; and
- (2) the record of services for the applicant is closed without any determination that the applicant is eligible or ineligible, in accordance with PPM chapter 480.

## **PPM 420 ASSESSMENT OF ELIGIBILITY & PRIORITY FOR SERVICES**

---

*[REQUIRED PRACTICE. The assessment for determining eligibility and priority for services is initiated in VR applicant status 02, and may be completed there or continued, if appropriate, through trial work experiences in VR applicant status 04 and/or the provision of an extended evaluation in VR applicant status 06, if appropriate and necessary. A record of services must be opened for each applicant in status 02 on the date of application, and the record must remain in status 02 until completion of the assessment or the initiation of trial work experiences, an extended evaluation, certification of eligibility or ineligibility, or closure to status 08 for reasons other than a determination that the individual is ineligible, at which time the status must be changed to status 04, status 06, status 10, or status 08, as appropriate.]*

### **420.02 PURPOSE OF THE ASSESSMENT**

The purpose of the assessment for determining eligibility and priority for services is to:

(1) make a determination regarding whether the applicant is eligible or ineligible for vocational rehabilitation services, in accordance with program eligibility requirements, as described in PPM chapter 421; and

(2) make a determination regarding the significance (severity) of the individual's disability, as described in PPM chapter 422, in order to—

(A) establish the individual's priority for services, if the Vocational Rehabilitation Program is operating under an order of selection, as described in PPM chapter 430, and

(B) ascertain whether or not the individual qualifies for the provision of trial work experiences, an extended evaluation, or supported employment services, all of which are available only to individuals who have been determined to be individuals with the most significant disabilities, in accordance with PPM chapter 422.

### **420.03 TIMELINESS REQUIREMENTS**

(1) The assessment for determining eligibility and priority for services:

(A) must be initiated concurrently with, or as soon as possible following, the date of application; and

(B) must be completed within a reasonable period of time of not more than 60 calendar days that is consistent with program timeliness requirements for making the eligibility or ineligibility determination and the severity determination, as described in PPM chapters 421 and 422, respectively.

(2) The required determinations of eligibility or ineligibility and severity resulting from the assessment must be made as soon as possible for each applicant, but not more than 10 calendar days, following the Counselor's receipt of the information and documentation necessary to make the required determinations. See also PPM 421 and 422.

### **420.04 AUTHORITY FOR MAKING THE ELIGIBILITY OR INELIGIBILITY AND SEVERITY DETERMINATIONS**

Each determination of eligibility or ineligibility and each determination of severity must be made by a qualified Vocational Rehabilitation Counselor or by another qualified professional employed by the Vocational Rehabilitation Program, and cannot be delegated to any other individual or agency.

## ***CONDUCTING THE ASSESSMENT***

### **420.05 GENERAL REQUIREMENTS**

Each assessment to determine eligibility and severity must:

(1) be conducted in a timely manner sufficient to permit the completion of the assessment and the required eligibility or ineligibility and priority for services determinations within the timeliness guidelines described in section 420.03 of this chapter;

(2) provide an opportunity for the full and meaningful participation of the individual (and, if applicable, of the individual's representative) in the assessment process, including opportunities for the individual to exercise informed choices in all decisions related to the provision of assessment services; and

(3) be conducted in the most integrated settings possible, consistent with the individual's vocational rehabilitation needs and informed choice.

#### **420.06 INFORMATION USED FOR THE ASSESSMENT**

The information used for the assessment and as a basis for making the required determinations of eligibility or ineligibility and severity is limited to information that is appropriate and necessary to make the required determinations described in section 420.02 of this chapter, and:

(1) must use for its primary sources of information, to the maximum extent possible and appropriate in accordance with confidentiality and disclosure requirements—

(A) existing information, such as may be obtained from existing medical, psychological, training, employment, and other records and reports,

(B) determinations made by qualified officials of other programs that serve individuals with disabilities, especially officials of the Social Security Administration and education programs responsible for the public education of students with disabilities, and

(C) information that can be provided by the individual and, if appropriate, by family members of the individual, and

(D) the professional observations of qualified Vocational Rehabilitation Counselors and other qualified individuals employed by the Vocational Rehabilitation Program; and

(2) may also include, to the extent that the information described in paragraph (1) of this section is not current or is insufficient or inappropriate for making the required determinations, additional medical, psychological, vocational, and other evaluations, including evaluations of the individual's—

(A) medical and psychological condition, history, and needs, including an examination of the individual's functional capacities and need for assistive technology devices and services,

(B) personality, interpersonal skills, personal and social adjustment, and social and behavioral functioning (including work-related attitudes, behaviors, and habits),

(C) intelligence,

(D) education, training, and academic and vocational interests, aptitudes, abilities, and accomplishments,

(E) vocational interests, aptitudes, and skills, work tolerance, work experience and performance, and employment opportunities,

(F) the services needed for the individual to acquire or develop occupational skills, work tolerance, and social and behavioral patterns required for successful job performance; and

(3) prior to making a determination that any individual with a most significant disability is incapable of benefiting in terms of an employment outcome from the provision of vocational rehabilitation services, must include clear and convincing evidence of the inability to benefit obtained from—

(A) trial work experiences provided in order to determine the individual's ability, capability, and capacity to engage in and maintain employment; and/or

(B) an extended evaluation to determine the individual's ability, capability, and capacity to benefit in terms of an employment outcome from the provision of vocational rehabilitation services.

#### **420.07 SERVICE PROVISION DURING THE ASSESSMENT**

(1) Vocational Rehabilitation Program services provided for the purpose of the assessment for determining eligibility and priority for services must include any available vocational rehabilitation services that are necessary for the individual to participate in and complete the assessment, but can include only those services:

(A) determined by the Vocational Rehabilitation Counselor to be appropriate and necessary for the assessment (including those services determined to be appropriate and necessary for trial work experiences and/or an extended evaluation conducted for purposes of the assessment);

(B) (in the case of services provided during trial work experiences and extended evaluations) in accordance with the individual's trial work experiences or extended evaluation plan, as applicable; and

(C) arranged for and provided with the full and prior knowledge, approval, and authorization of the Vocational Rehabilitation Counselor.

*[REQUIRED PRACTICE. With respect to paragraph (1)(C) of this section, costs incurred by an individual for services obtained without the full and prior knowledge, approval, and authorization of the Vocational Rehabilitation Counselor will not be paid for or reimbursed by the Vocational Rehabilitation Program.]*

(2) Each vocational rehabilitation service provided for the purpose of determining an applicant's eligibility or ineligibility for Vocational Rehabilitation Program participation must be provided in accordance with the policies that apply to its provision, including, but not limited to, all policies regarding the nature, scope, and duration of service provision, the qualifications and selection of service providers, program fiscal requirements and limitations pertaining to the particular service, and informed choice.

## **RECORD OF SERVICES DOCUMENTATION REQUIREMENTS**

### **420.08 RECORD OF SERVICES CONTENT REQUIREMENTS**

For every individual for whom an assessment for determining eligibility and priority for services has been initiated, the record of services of the individual must include, as applicable to each individual:

(1) case notes and other documentation sufficient to show that the timeliness requirements of this chapter were met;

(2) information which demonstrates that the individual and, if applicable, the individual's representative were provided an opportunity to participate in

a full and meaningful manner in the assessment, as required under section 420.05;

(3) an explanation and justification for any vocational rehabilitation services that were provided for purposes of the assessment but were not provided in integrated settings, as prescribed by section 420.05;

(4) all information and documentation obtained or generated during the assessment, as described in section 420.06, and case notes describing the conclusions of the Counselor with respect to such information and documentation;

(5) a demonstration that the services provided for the assessment were provided in accordance with the requirements of this chapter and the informed choice of the applicant with regard to the types of services provided, the service providers selected, the methods used to procure the services, and the settings in which service provision occurred; and

(6) all authorizations, billings, claim-vouchers, and other fiscal documentation required to authorize and make payment for diagnostic and evaluation and other services purchased for the assessment, as prescribed by section 420.07 of this chapter.

### **420.09 INFORMATION TECHNOLOGY SYSTEM COMPLIANCE**

All required information, data, and documents must be incorporated and maintained in the record of services for the individual in a manner consistent with Indiana Rehabilitation Information System (IRIS) requirements.

[AUTHORITY: Federal regulations 34 CFR §§361.5(b)(6); 361.13(c); 361.39; 361.40; 361.42; 361.47; 361.48(a); 361.50(a); 361.52.]

\* \* \*